



ARIZONA DEPARTMENT OF TRANSPORTATION

206 South Seventeenth Avenue Phoenix, Arizona 85007

BRUCE BABBITT
Governor

August 12, 1985

CHARLES L. MILLER
Director

Dear Action Plan Readers:

The Arizona Department of Transportation is responsible for providing a statewide network of highways within Arizona which, by statute, is the State Highway System.

To meet this responsibility, the State Transportation Board sets priorities for needed construction or reconstruction projects within funds available and the Department plans and contracts to accomplish these improvements to the State Highway System.

The Department of Transportation is pleased to present this "Action Plan for State-Funded Highway Projects," which describes the functions and processes the Department uses for administering the State Highway System program.

This edition is the second printing of the July 7, 1983, Action Plan and contains an updated Table of Organization on page 1-2 and a revised Engineering Districts map on page 1-9. Distribution of this second printing serves to reaffirm the commitment of the Department to those policies and procedures established in the Action Plan for meeting its statutory responsibilities with regard to the State Highway System.

We wish to express our appreciation for the cooperation and assistance received from the many participating agencies in the development of this Action Plan.

Cordially,

CHARLES L. MILLER
Director



State of Arizona
**ACTION PLAN
FOR
STATE-FUNDED HIGHWAY PROJECTS
ON THE STATE SYSTEM**

Prepared By
The Arizona Department of Transportation
In cooperation with
Other Participating Agencies

Submitted to Governor Bruce Babbitt by:



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William A. Ordway
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7/8/83
Date

Approved by:



Bruce Babbitt
Bruce Babbitt
Governor of the State of Arizona

7/8/83
Date

FOREWORD

The planning and decision-making process for State-funded transportation facilities on the State System in Arizona includes the identification of public need, the consideration of funding, and the planning, development, and construction of appropriate transportation facilities.

This Action Plan outlines the processes utilized by the Arizona Department of Transportation in meeting its statutory responsibilities with regard to State-funded highway projects on the State System.

State-funded highway projects heretofore processed by the Department under provisions of Part 1.5 of the ADOT Action Plan (for Federal-Aid projects) will now be processed in accordance with this new Action Plan. The Federal-Aid Action Plan will not otherwise be affected by this Action Plan for State-funded projects.

Major projects such as new highways on new locations may require all of the process steps identified in the Action Plan. Less complex projects such as the improvement or reconstruction of existing facilities may require only selected steps of the process as applicable to the individual project. The Arizona Department of Transportation will use the least involved and most expeditious process appropriate for the particular highway project being developed.

This Action Plan will be routinely revised when warranted by changes in the requirements, situations, and statutory responsibilities of the Department to which the Action Plan applies. Revisions which significantly affect other State agencies will require approval of the Governor of Arizona or a designee. All other revisions will require the approval of the Director of the Arizona Department of Transportation or a designee.

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CHAPTER 1

1.0 ORGANIZATION AND RESPONSIBILITIES

1.1 ORGANIZATION (OVERVIEW)

This chapter presents the organizational structure of the Arizona Department of Transportation and identifies those elements of the Department responsible for performing certain of the respective functions of the Action Plan Process.

The structure of the Arizona Department of Transportation has been designed to permit the organization to be responsive to the transportation needs of the day. Managers throughout the Department are in contact with the varied elements and demands of society. It is through these contacts and the exercise of managerial prerogatives that individual units are altered to achieve and maintain a responsive organization. This procedure with its internal checks and balances provides an organizational structure that has sufficient fluidity and flexibility built in to meet all reasonable demands placed upon the agency.

1.1.1 The Organizational Structure

The chart on the following page reflects the organizational concept, the lines of authority, and the relationships of all operational elements within the structure of the Arizona Department of Transportation.

1.1.2 Authority

The legal responsibilities of the Arizona Department of Transportation are established in Title 28 of the Arizona Revised Statutes. It is within the framework of these statutes that the Department plans, constructs, and maintains a safe, efficient and modern transportation system which is responsive to the transportation needs of Arizona.

The exclusive control and jurisdiction over State highways, State routes, State airports and all State-owned transportation facilities is vested in the Arizona Department of Transportation.

In order to discharge its statutory responsibilities, the Arizona Department of Transportation is organized into the Divisions of Motor Vehicle, Transportation Planning, Highways, Aeronautics, Public Transit, and Administrative Services.

Non-divisional staff units established to serve the ADOT organization include Arizona Highways Magazine, Affirmative Action Office, Governors Commission on Arizona Environment, Audit and Analysis, Personnel Support, Legal Services, and Public Information.

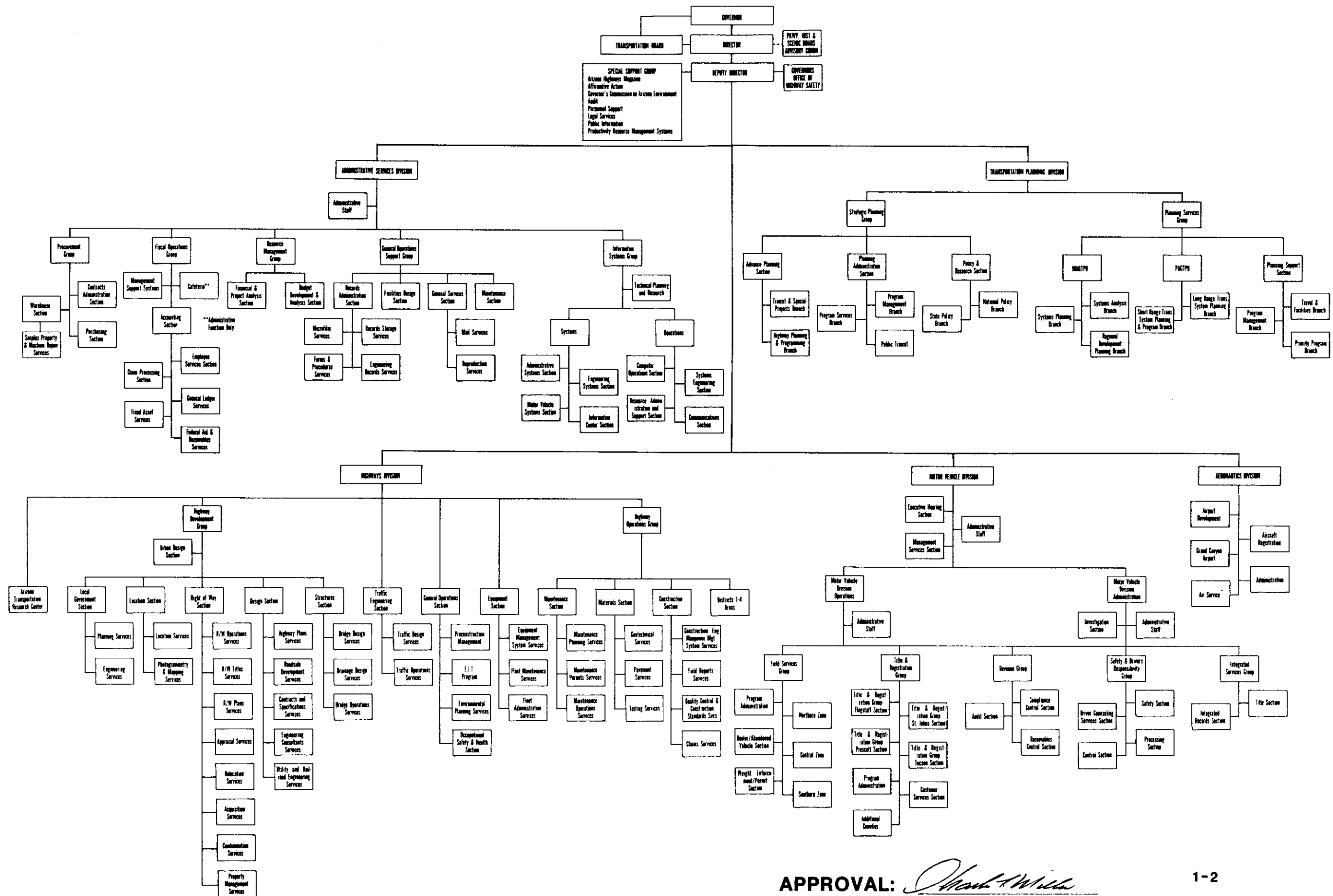
1.2 RESPONSIBILITIES

1.2.1 Arizona Department of Transportation

The Arizona Department of Transportation is an entity of Arizona State Government under legislative jurisdiction of the Arizona Legislature and under the executive jurisdiction of the Governor of Arizona. In accordance with Title 28 of Arizona Revised Statutes (as amended) the Arizona Department of Transportation is responsible for and shall:

- register motor vehicles and aircraft, license drivers, collect revenues, enforce motor vehicle and aviation statutes, and perform related functions.

ARIZONA DEPARTMENT OF TRANSPORTATION



APPROVAL: *Charles L. Miller*
DATE: April 30, 1985

- do multi-modal State transportation planning, cooperate and coordinate transportation planning with local governments and establish an annually-updated priority program of capital improvements for all transportation modes.
- design and construct transportation facilities in accordance with a priority plan and maintain and operate State highways, State airports, and State public transportation systems.
- investigate new transportation systems and cooperate with and advise local governments concerning the development and operation of public transit systems.
- have administrative jurisdiction of transportation safety programs and implement them in accordance with applicable law.

1.2.2 Director of the Arizona Department of Transportation

The Director of the Arizona Department of Transportation is appointed by the Governor, with consent of the Arizona Senate, to head and direct the affairs of the Department. The Director is responsible for and shall

- supervise and administer the overall activities of the Department, its divisions, and employees.
- appoint assistant directors for each of the divisions, which assistant directors shall be exempt from the State personnel system.
- prescribe such rules and regulations as he deems necessary for the collection of taxes and license fees.
- provide for the assembly and distribution of information to the public concerning Department activities.
- prescribe such rules and regulations as he deems necessary for public safety and conveniences.
- prescribe rules and regulations for the expenditure of all money in the State Highway fund.
- prescribe standard board and road signs, or other devices, and provide a uniform system of marking and signaling on State routes and State highways, which shall correlate with and so far as possible conform to the system as approved by the American Association of State Highway and Transportation Officials (AASHTO), and regulate the use of advertising signboards and road signs on State roads or State highways.
- prescribe rules and regulations for closing State highways under construction or repair.
- receive, allocate, control and disperse all funds designated for State mass transit programs by Federal or State law, regulation, or rules.
- pass upon projects for construction in cooperation with the United States, and negotiate and enter into contracts on behalf of the State with the United States for the cooperative construction and maintenance of Federal-aid mass transit systems within the State.
- enter into agreements on behalf of the State with counties, cities, towns, mass transit districts, or with any other political subdivision for improvements or maintenance therein, or for the joint improvement or maintenance thereof, and enter into contracts for the construction of State mass transit systems.

- prescribe rules and regulations for the application for and the expenditure of all mass transit funds.
- exercise such other powers and duties as are necessary to fully carry out the policies, activities, and duties of the Department.
- delegate such functions, duties, or powers as he deems necessary to carry out the efficient operation of the Department.
- contract for both the operation of State-owned airports and for securing air search and rescue services.
- plan, build, and develop, in conjunction with local authorities, airports, airport terminals, and other related navigational facilities.
- operate and maintain Grand Canyon National Park airport located in the Kaibab National Forest in Coconino County.
- enter into agreements on behalf of the State with counties and jurisdictions over the use of State highways and routes and prescribe such rules and regulations regarding such use as he deems necessary to prevent the abuse and unauthorized use of such highways and routes.

The director may provide technical transportation planning expertise to local governments when requested, coordinate local government transportation planning with regional and state transportation planning, and guide local transportation planning to assure compliance with Federal requirements. Such planning authority shall not, however, preempt planning responsibilities and decisions of local government.

The Director shall develop a five-year Transportation Facilities Construction Program according to the policies established by the Transportation Board and shall appoint a Departmental Committee which is responsible to the Director to aid in the development of the Five-Year Transportation Facilities Construction Program. (Refer to Part 1.2.4).

1.2.3 State Transportation Board

The Transportation Board of the Arizona Department of Transportation is composed of seven members. Six represent established geographical districts of the State and one serves as a member at large representing the entire State. (Refer to map on following page).

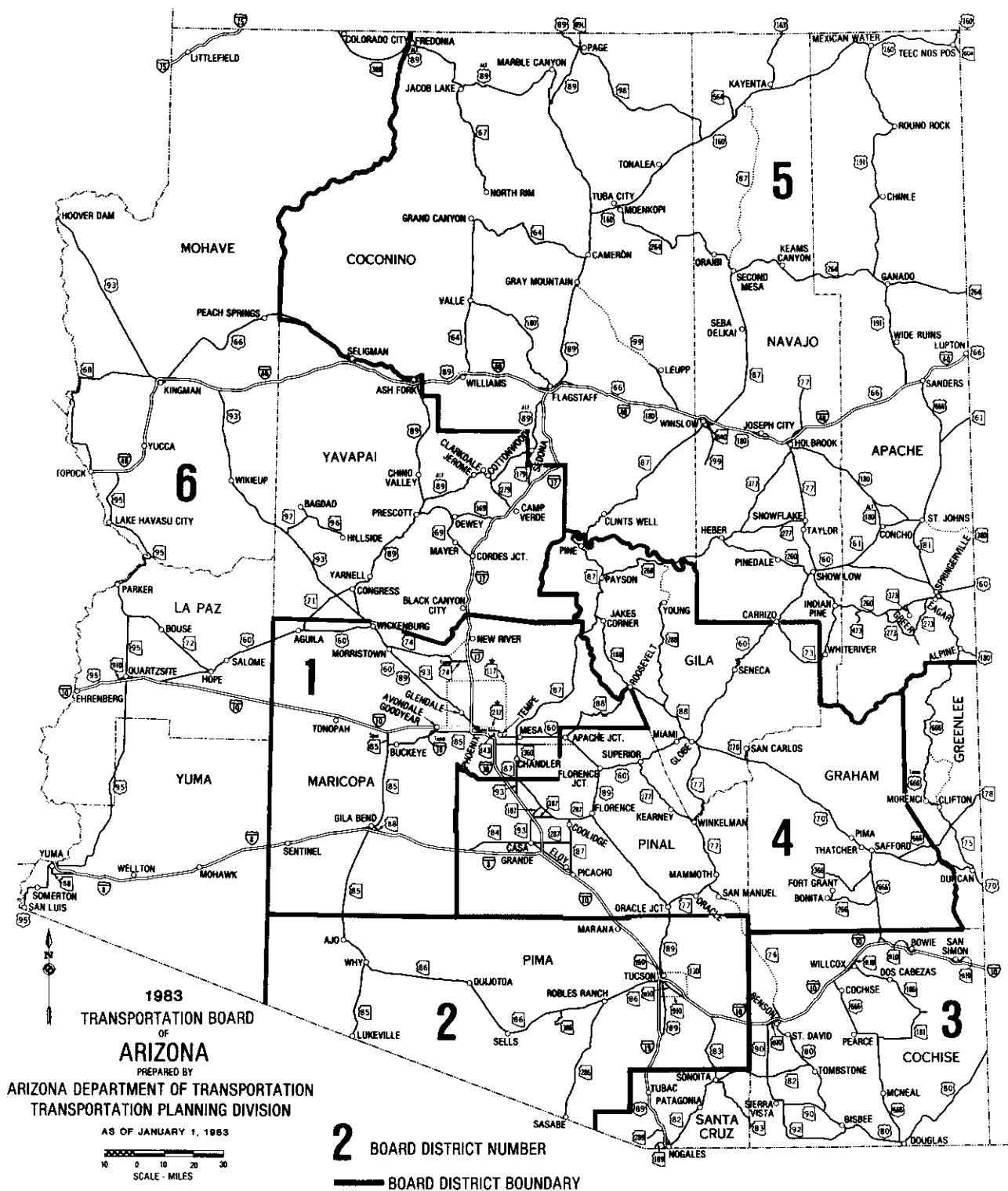
Each member is appointed by the Governor with the consent of the Arizona Senate to serve a six year term on the board.

With respect to Aeronautics, the Transportation Board shall distribute monies appropriated to the Division from the State Aviation Fund for planning, design, development, acquisition of interest in land, construction and improvement of publicly owned and operated airport facilities in the counties and incorporated cities and towns. The Transportation Board shall distribute the monies according to the needs for such facilities as determined by the Board.

With respect to highways, the Transportation Board shall:

- establish a complete system of State highway routes
- determine which State highway routes or portions thereof shall be accepted into the State highway System, and which State highway routes shall be improved; and
- establish, open, relocate, alter, vacate or abandon any portion of a State route or State highway.

The Transportation Board shall establish policies and the relative weights given to criteria to guide the development or modification of the five-year Transportation Facilities Construction Program, award all construction contracts for transportation facilities, and monitor the status of such construction projects.



The Transportation Board shall determine priority program planning with respect to transportation facilities.

With respect to transportation facilities other than highways, the Transportation Board shall: Establish, open, relocate, alter, vacate or abandon all or portions of such facilities.

The Transportation Board shall prescribe rules and regulations for the effective administration of its powers, duties and responsibilities including rules and regulations relating to:

- Priority Programs
- Establishing, altering or vacating highways
- Construction Contracts
- Revenue Bonds
- Local Government Airport Grants
- Designating or establishing scenic or Historic Highways
- Prohibiting Bid Rigging

1.2.4 Departmental Committee

In compliance with statutory requirements the ADOT Director shall appoint a Departmental Committee which is responsible to the Director and shall be subject to the provisions of Title 38, Chapter 3, Article 3.1 of the Arizona Revised Statutes. The Departmental Committee shall:

- Recommend priorities on transportation facilities construction projects to be constructed by the State which may include the following criteria:
 - Sufficiency Rating and Safety Factors
 - User Benefits
 - Continuity of Improvement
 - Social Factors
 - Land Use
 - Aesthetic Factors
 - Conservation Factors
 - Life Expectancy
 - Recreational Factors
 - Availability of State and Federal Funds

The above criteria; along with any other relevant criteria developed by the Committee, shall be used for the development of priority recommendations for the construction and development of transportation facilities to be constructed by the State.

- update and prepare annually a long-range statewide transportation facilities construction program covering the ensuing five fiscal years for submission to the Transportation Board. The first year of the five-year program shall consist of the highest priority transportation facilities construction projects that can with reasonable certainty be advertised for public bidding. The Committee shall group proposed projects for the four remaining years of the five-year program by the year it is estimated construction can begin and in order of their priorities. The estimated cost of the program for each year shall be approximately equal to the revenues estimated to be available for transportation facilities construction proposed during that year.

- review any priority changes in or introduction of new projects to a proposed or an adopted five-year program which have been requested by the Transportation Board and make recommendations on such requested priority changes or introduction of new projects based upon a study of the criteria and policy which establish the priorities of projects. The Committee shall fully document its recommendations in a written report to the Transportation Board.
- review the adopted five-year transportation facilities construction program from time to time during the fiscal year and make recommendations to the Transportation Board for any priority changes in or introduction of new projects to the program based upon a study of the criteria and policy which establish the priorities of projects. The Committee shall fully document its recommendations in a written report to the Transportation Board.

1.2.5 The Divisions of the Arizona Department of Transportation

Each of the ADOT Divisions is headed and managed by an Assistant Director appointed by the Director of the Arizona Department of Transportation.

Each Assistant Director is the executive administrative officer of his respective division and is responsible to the Director for fulfilling the responsibilities charged to the division by the Director. The Assistant Director of the Highways Division is by State statute also the State Engineer.

The Assistant Director of the Transportation Planning Division presently also serves as Assistant Director of the Public Transit Division.

A. ADMINISTRATIVE SERVICES DIVISION

The Administrative Services Division is service oriented and is comprised of the following groups: Fiscal Operations, Central Services, Facilities Management, Information Systems, Resource Management, Procurement, and for administrative support purposes only, the Governor's Office of Highway Safety. These operational elements of the Division are categorized as support-type functions and provide specialized services to all divisions of the Arizona Department of Transportation.

The functions of the Division are related only indirectly to the transportation planning and highway development process of the Action Plan.

B. AERONAUTICS DIVISION

The Aeronautics Division is comprised of Airport Development, Aircraft Registration, Grand Canyon Airport, Air Service Field Inspections, and Administration.

The Aeronautics Division is responsible for but not necessarily limited to the following activities:

- development of a State air transportation system consistent with the goals, objectives, and priorities of local, regional, and statewide comprehensive transportation system plans;
- review and advise the Director on airport elements of local, regional and State transportation planning proposals;
- recommend proposed resource allocations for aeronautics;
- study and evaluate the economic, social, and environmental effects of airports and aviation and cooperate with airport and aircraft operators and with local, State, and Federal agencies in resolving environmental conflicts;
- assist regional and local governmental entities in airport location studies;
- plan, operate, and maintain all State airport facilities.

- plan, coordinate, and conduct aviation safety seminars;
- participate in air civil defense and provide for the development of aerospace education programs;
- register and collect taxes on all aircraft in Arizona: identify, inspect, and conduct inspections on all commercial flight operators: identify, inspect, and license all aircraft dealers and flying clubs in the State;
- acquire surplus property for airports; and
- provide for air search and rescue.

Most functions of the Aeronautics Division are not related to the Action Plan process.

One area of interface includes the review and evaluation of proposed airport improvement projects under the jurisdiction of the Aeronautics Division by various units of the Highways Division and the Transportation Planning Division of ADOT.

The operational program of the Aeronautics Division is dynamic in nature and as such is subject to revision when necessary to add to or modify the services and functions of the Division to meet current air transportation requirements.

C. HIGHWAYS DIVISION

The Highways Division is comprised of the Highway Development Group, the Highway Operations Group, the Engineering Districts, the Traffic Engineering Section, and the Equipment Section.

Administration of the Division is accomplished through the central headquarters offices of the Assistant Director, Highways Division, and his staff.

To effectively carry out the responsibilities of the Division, the State is separated into geographic Engineering Districts with each district being headed by a District Engineer supported by administrative, engineering, technical, and maintenance personnel as required. A map identifying the Engineering Districts is shown on the following page.

District engineers participate in highway planning and development processes outlined in this Action Plan, as appropriate, and are responsible for all state highway construction projects and roadway maintenance within their respective district. Each district engineer is also responsible for construction contract administration and project inspection on all local government Federal-aid highway projects within his district.

The major responsibilities of the Highways Division are to locate, design, construct, and maintain highways and related facilities in the State Highway System and to research, plan, and incorporate safety features into existing and proposed State highway facilities. The Assistant Director, Highways Division, is the executive administrative officer of the Division and is responsible for the administration of all highway affairs as authorized by the Director of the Arizona Department of Transportation.

As the authorized and bonded agent for the Director, the Assistant Director administers all highway location, design, construction, and maintenance work with power and duty to:

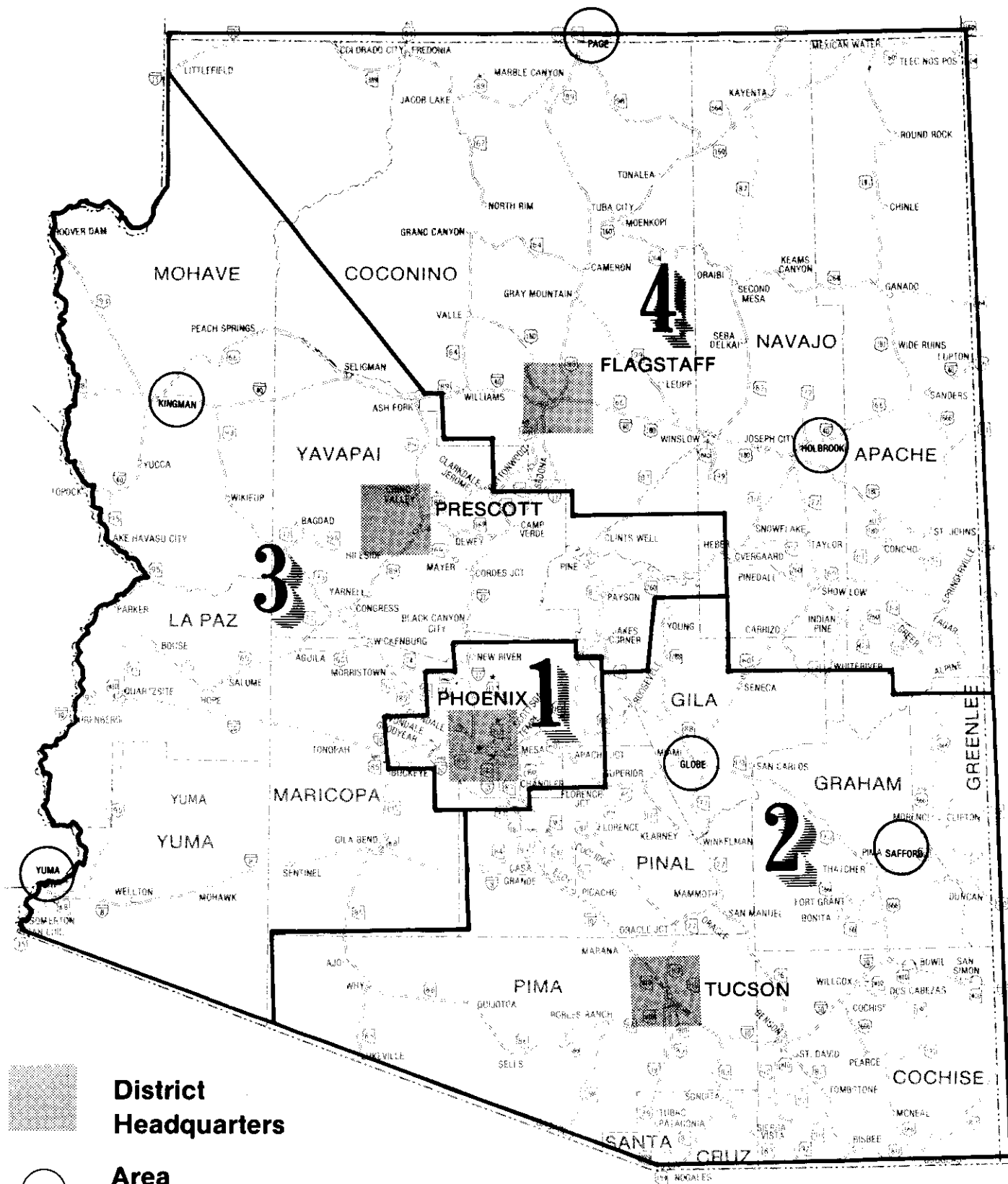
- direct the location process for State highways and State routes.



New Engineering Districts

Arizona Department of Transportation

July 1, 1985



- direct the preparation of all plans and specifications for work on State highways or State routes.
- advertise for competitive bids for work on State highways or State routes and, upon authorization of the Transportation Board, award and enter into contracts for work.
- direct supervision of all construction work on State highways and State routes, and have charge of maintenance and upkeep of such highways and routes.
- approve payment for work done by the State on or in connection with State highways or State routes, provided that no claim shall be allowed by the Assistant Director of the Department of Administration for work without the approval of the Director or his authorized and bonded agent.
- negotiate and award contracts to private consulting engineers or consulting engineering firms when deemed in the public interest by the Director and the Transportation Board for the performance of such engineering work as may be required to formulate and complete highway construction contracts.
- direct the organization of the Division, appoint, suspend and discharge, fix the duties, and prescribe rules and regulations for the conduct of employees.
- make monthly reports to the Transportation Board of all expenditures of the Division of the work accomplished under his direction, together with such other matters that he deems proper;
- supervise and regulate the use of the right-of-way for purposes other than highway functions.
- assign to the Transportation Board, upon request, such clerks or other employees as it requests.
- prescribe procedures for use of Division personnel, facilities, equipment, supplies, and other resources in assisting search or rescue operations by request of the State Director of Emergency Services.
- exercise such other powers as are necessary to carry out the work of the Division and perform such other duties as prescribed by law for the Highways Division of the Arizona Department of Transportation.

In fulfilling its responsibilities, the Highways Division's functions include but are not necessarily limited to the following activities:

- recommend State highway program policies and objectives and issue guidelines and procedural directives for carrying out the State Highway Program;
- provide administrative and functional direction to district highway offices on the programming, development, construction, maintenance, and operation of the State Highway System.
- recommend proposed resource allocations for the State Highway Program;
- perform location studies and make recommendations on proposed State highway route locations;
- perform highway design studies and make recommendations on proposed highway projects;

- identify and evaluate potential social, economic, and environmental impacts of proposed highway projects; and prepare and process appropriate environmental documents;
- provide engineering, environmental, and other support services and expertise to other ADOT Divisions as required.
- prepare, review, and approve State highway location and design proposals, environmental documents, contracts, specifications and estimates, and direct highway construction contract administration;
- review and advise on State highway elements of local, regional, and statewide transportation system plans including classifications, needs, and priorities;
- provide a complete right-of-way acquisition and property management service for State highway-related facilities;
- prepare materials reports and materials requirements specifications for highway construction and improvement functions;
- coordinate and administer utilities relocation program with utility companies for State highway corridors;
- prepare and provide traffic engineering and safety expertise, reports, plans, specifications, improvements, traffic control devices, and statistical data for the State Highway System;
- provide ongoing maintenance for all State highways and State rest areas.

The functions of the Highways Division are related to the transportation planning and development processes contained in Chapters 2 and 3 of this Action Plan.

D. MOTOR VEHICLE DIVISION

The Motor Vehicle Division is made up of the Administrative Staff, the Executive Hearing Section, the Investigative Section, and five groups consisting of Management Service, Field Services Administration, Driver Responsibility, Revenue Administration, and Integrated Records and Processing Administration.

The Division is responsible for:

- testing and licensing of all drivers in the State;
- titling and registration of all vehicles owned and/or operated by Arizona residents;
- collection of all Highway User Revenues;
- administration of the Financial Responsibility Laws; and
- the regulation of Driver Improvement programs;

The functions and responsibilities of the Motor Vehicle Division are not a part of this Action plan process.

E. PUBLIC TRANSIT DIVISION

The Public Transit Division is comprised of Rail Operations, Ride Sharing, State/Federal-Aid Programs, and Transit Program Assistance.

This Division is responsible for but not necessarily limited to the following functions:

- receiving, controlling, and disbursing funds designated for public or mass transit or specialized transit purposes;
- participating in contract negotiations for implementation of Federal-aid mass transit projects;
- contracting with other governmental agencies and nonprofit organizations for the provision of transit services, equipment, and/or facilities; and
- initiating transit needs studies and planning.

The functions and processes of the Public Transit Division are related to the State Transportation Plan (Step 3) and the Priority Programming Process (Steps 4 and 7) discussed in Chapter 2 of this Action Plan.

F. TRANSPORTATION PLANNING DIVISION

The Transportation Planning Division is comprised of the Strategic Planning Group and the Planning Services Group.

The three Sections which make up the Strategic Planning Group are Advance Planning, Planning Administration, and Policy and Research.

Four sections comprise the Planning Services Group which include MAG-TPO, PAG-TPD, Planning Support, and Technical Planning Services.

To carry out its legislated mandate, the Transportation Planning Division assists in the development of effective transportation policies and goals. These policies and goals are related to the Department, the Transportation Board, State agencies, local governments, and the public. The goals and policies must also relate to emerging land use policies, energy conservation and allocation, and transportation regulation. Within this framework, the Transportation Planning Division is primarily responsible for developing measurable and attainable objectives and for developing realistic time schedules for meeting these objectives.

Arizona law delegates to ADOT the responsibility for conducting statewide transportation planning. The process includes development of State System Plans for all transportation facilities and services, an update of those plans in response to the dynamic of population and economic changes, and assistance in implementing those plans. Based on needs assessments, comprehensive data collection efforts and careful forecasting techniques, the Plans provide recommendations on the level of transportation investments for short term (1-5 years), intermediate (6-20 years), and long-term (greater than 20 years) time periods.

The Division, in compliance with State law, provides staff support to the Director and the Departmental Committee in preparation of a priority program of transportation projects for the Transportation Board's approval. This process has been established to assure that capital expenditures of Transportation funds are consistent with identified objectives of ADOT and local governments.

To assist in developing and maintaining a strong policy and technical base from which to carry out its planning roles, the Division is involved in research activities. Research is carried out both as an adjunct to the development of State System Plans and also as a separate activity through the Arizona Transportation Research Center.

To assist the Department in carrying out all of its delegated assignments, the Division exerts a major influence on the development and coordination of Department policy on transportation issues. Included in this role is work in proposing legislation, anticipating policy issues, coordinating policy research and development, and analyzing recommended positions on specific transportation issues—both State and national.

The Division is engaged in a major planning partnership role with the urban Councils of Governments. The Division provides administrative and technical staff to these Councils of Governments. The Transportation Planning Division also provides planning leadership and support to local units of government and coordinates statewide transportation planning with the non-metropolitan Councils of Governments.

The Assistant Director, Transportation Planning Division, is the Executive Administrator of the Division and is responsible for all elements of the transportation planning program of the Department of Transportation.

The Assistant Director operates under general directions of the Director of the Department and administers all transportation planning with the powers and duty to:

- direct the preparation of a Statewide transportation plan for integrated and balanced transportation system;
- cooperate and coordinate transportation planning with local governments and other State and Federal agencies;
- provide staff support for the Director and the Departmental Committee; and, as appointed by the Director,
- serve as a member of the Departmental Committee and to assist in the activities and functions of that Committee in conformity with its duties and obligations as set forth in A.R.S. Section 28-111.

In order to meet its responsibilities, the Transportation Planning Division's functions and duties include, but are not necessarily limited to, the following activities.

- recommend transportation planning program policies and objectives and issue reports, guidelines, and recommendations for carrying out the balanced multi-modal Statewide transportation planning program;
- provide assistance to local and regional planning organizations and transportation offices on the programming, development, research, and implementation of the State transportation planning program;
- provide resource allocation for the Statewide transportation system program;
- perform modal studies and make recommendations on proposed transportation system improvements;
- collect, tabulate, analyze, and distribute multi-modal transportation planning data for use by State, Federal, and local governments in the decision-making process;
- maintain administrative and technical liaison with the ongoing urban transportation planning agencies in Phoenix (MAG) and Tucson (PAG) metropolitan areas and provide direct technical assistance under contract if appropriate;

- provide assistance and guidance to all units of local government in connection with State and Federal-aid programs leading to the development of transportation systems;
- make economic and special studies as requested by the Director for obtaining additional revenue for transportation requirements and perform economic engineering analysis to request special funds for growth development;

Functions related to the planning process of the Transportation Planning Division are presented in Chapter 2 of this Action Plan.

CHAPTER 2

2.0 THE TRANSPORTATION PLANNING PROCESS

2.1 INTRODUCTION

The transportation planning process for major projects involves four major areas: (1) the regional planning process, (2) the State Transportation Plan, (3) priority programming, and (4) corridor studies. Each of these areas is described in the following sections. The step by step process is illustrated on the fold out flow chart at the end of this Action Plan. Each step is numbered on the flow chart and is referred to by that number in the narrative.

2.1.1 Interdisciplinary Approach for Transportation Planning

Transportation is a critical element of the infrastructure supporting Arizona's growth and development. As such, transportation has a great impact on the State's social, economic, physical and, political environment. It is, therefore, imperative that the planning process incorporate interdisciplinary skills to assure proper attention is given to the impacts of transportation decisions on all facets of the public.

Interdisciplinary skills are available at State, regional, and local government levels. Where specifically needed skills are not available in one organization, assistance is solicited from other sources. For example, Arizona's Councils of Governments were established to perform comprehensive planning on a regional basis. Being multi-purpose planning agencies, they have the inherent advantages of providing interdisciplinary skills to use in the transportation planning process. The COGs generally have substantial comprehensive planning staffs, and additionally, make considerable use of expertise available from consultants, local agencies, ADOT, and other state agencies.

Primary research tools and analytical skills needed for the performance of transportation planning at the state level are available in the areas of transportation inventories and forecasting; land use and population inventories and projections; simulation applications; presentation and graphic skills; social and environmental assessment; energy; economics; transportation engineering; and transportation planning and programming. Other supporting expertise, particularly in the areas of statistical analysis, intergovernmental relations and transportation policy review and analysis, are also essential and present.

2.1.2 Consideration of Alternative Transportation Actions and Their Impacts

Arizona is committed to developing a transportation system which serves the needs of its citizens and at the same time minimizes any associated adverse impacts to the quality of living in the State. As a result, a vital component of the Arizona transportation planning process is the identification of transportation service and policy alternatives and assessing the impact of those alternatives on the social, physical, economic, and political environment. The impact analysis is an important element in the decision-making process for selection of the alternative to be implemented.

As might be expected, the degree of specificity in describing alternatives and assessing impacts increases as planning proceeds closer to the project development stage. In other words, the State Transportation Plan will identify alternative overall Statewide transportation system components, general levels of service, impact on the overall Statewide transportation system components, and impacts on the overall State economy. On the other hand, as

individual transportation corridor and project analysis progresses from planning through location development to construction, the impacts are considered in greater and greater detail. For example, the effects on a specific property or neighborhood are considered in the highway project stage.

2.2 THE REGIONAL PLANNING PROCESS

2.2.1 The Councils of Government

By Governor's Executive Order, Arizona is divided into several planning and development districts for the purpose of performing and coordinating comprehensive planning on an areawide or regional basis. Councils of Governments are established by the agreement of local governments within each of these planning areas for the purposes of carrying out the intent of the Executive Order. (See COG Area Map on the following page).

The Arizona Department of Transportation recognizes and assists the Councils of Governments (COGs) as areawide transportation planning agencies through the provision of technical and financial support. ADOT provides the transportation planning staff for Maricopa Association of Governments (MAG) and Pima Association of Governments (PAG). Technical advisory assistance is provided to the non-metropolitan Councils of Governments through ADOT's local assistance program. Transportation planning funds are made available by ADOT to all the COGs.

MAG and PAG are designated by the Governor as the metropolitan planning organizations (MPOs) for the Phoenix and Tucson metropolitan areas respectively. As such, these agencies are responsible for developing comprehensive long range transportation plans including both long range and system management (TSM) elements, the five-year transit plan, and transportation improvement programs (TIPs). A new Yuma area MPO is currently being developed.

Specific transportation planning responsibilities of the Councils of Governments are outlined in their annual work programs which are approved at the local, State, and Federal levels. Typical planning activities include the development of goals and objectives; issue review; data collection and analysis; forecasting needs and deficiencies; developing and selecting alternative plans, and performing special transportation studies. Public input and impact analysis are very important aspects of regional plan development. Priority programming for certain Federally-funded programs is also an important COG planning responsibility.

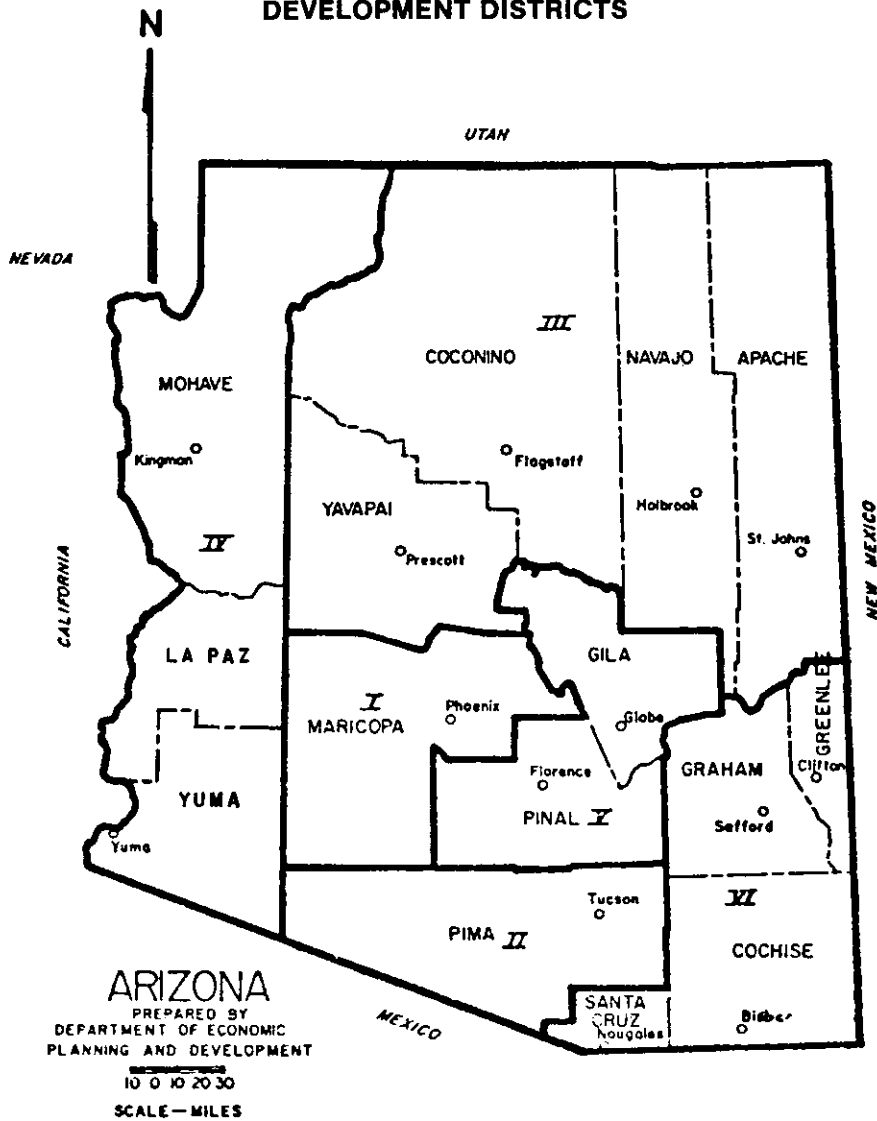
2.2.2 The Regional Transportation System Plan (Step 1)

The 1962 Federal Highway Act required that all urban areas over 50,000 population must have a transportation plan based on a coordinated, comprehensive, continuing planning process. This requirement has remained in effect and is now the responsibility of the designated MPO. The plan must be reaffirmed each year by the Regional Council and should be subjected to major review and reanalysis every few years.

The Transportation System Plan is Step 1 in the flow chart at the end of this Action Plan. This plan must take into account population and growth projections, land use patterns and densities, income and the economy, and travel habits and characteristics. The Transportation Plan must be consistent with the Regional Development Plan, the State Implementation Plan for Air Quality, and the Waste and Water Quality Plan.

In the selection of the plan, consideration should be given to all modes of travel, environmental evaluations, energy conservation, financial resources, and the needs and desires of the general public and the local agencies. Extensive public involvement through public forums,

**ARIZONA COUNCILS OF GOVERNMENTS
STATE PLANNING AND
DEVELOPMENT DISTRICTS**



METROPOLITAN AGENCIES

Over 50,000 Population*

REGION I:

Maricopa Association
of Governments
Phoenix, Arizona

REGION II:

Pima Association of
Governments
Tucson, Arizona

NON-METROPOLITAN AGENCIES

Under 50,000 Population

REGION III

Northern Arizona Council
of Governments
Flagstaff, Arizona

REGION IV:

Council of Governments
Yuma, Arizona

REGION V:

Central Arizona Association
of Governments
Florence, Arizona

REGION VI:

Southeastern Arizona Governments
Organization
Bisbee, Arizona

*A new MPO is currently being developed
for the Yuma metropolitan area.

discussion, presentations, hearings, and other appropriate media should be encouraged and actively pursued.

The Regional Transportation System Plan should identify general areas where new major facilities should be constructed, where additions should be made to the street system, the nature, size, and coverage area of the transit system, and the amount of usage anticipated on each mode of travel. Cost estimates, implementation responsibilities, and phased development schedules may also be part of the plan.

2.2.3 Regional Transportation Priority Recommendations (Step 2)

The Councils of Governments (COGs) working in concert with the local governments within their respective planning regions, establish priorities for Federal-aid transportation projects within their region. The COGs are also encouraged to make priority recommendations for the construction and improvements of facilities on the State Highway System.

The process described in Parts 2.4 (Step 4) and 2.7 (Step 7) enables the COGs to participate in the deliberations of the Departmental Committee and the State Transportation Board in the annual development and adoption of the ADOT Five-Year Construction Program.

2.3 State Transportation Plan (Step 3)

2.3.1 Responsibilities

ADOT conducts a continuing long-range (20 years or more) comprehensive transportation planning process which is periodically documented by a State Transportation Plan. The plan is produced through the building block approach with the analysis of specific issues and categories. Category level plans are maintained on a continuing basis for highways, aviation, railroads, and transit. Other category level plans are developed on an as-needed basis. Overall management of the State Transportation Plan lies in the Advance Planning Section; however, specific issue and category level planning will be assigned to other units within the Transportation Planning Division. In many cases a dedicated team from units within the Transportation Planning Division and other divisions having special expertise on the issue will be assembled, such as in the development of the State Highway Plan.

Specially tailored, but coordinated, management roles are developed for each issue, category, and the State Transportation Plan itself. For example, the Highways Division participates with the Transportation Planning Division in planning and decision-making regarding all highway planning issues; the Director and State Transportation Board approve highway policies and plans; and the Governor provides final approval for the State Aviation Systems Plan. Roles are established on the basis of authority, relationship to the subject matter, and nature of the planning activity.

2.3.2 Planning Alternatives and Impact Assessment

A broad range of alternatives may be considered in the state planning process. These alternatives may include both policy alternatives and service level alternatives. A "do nothing" or "no change" alternative may be considered. The specific alternatives to be addressed in development of State Transportation Plan components is a function of the nature of the study and public participation received during the planning process.

Modal trade-offs are considered in State Plan development primarily through policy alternatives such as funding and preferential treatment. Specific intermodal service studies, such as service coordination, may also be incorporated into the State Plan on an issue basis.

Criteria for evaluation of impacts are uniquely selected for the set of alternatives under consideration. Normally for the State Plan, these criteria are Statewide in nature; however, in some cases, such as selection of a State Airport System, community-level impacts must be assessed.

Evaluation criteria, applied on a systemwide level, which will commonly be used include the following:

1. Safe, efficient, and effective transportation including modal integration and resource optimization.
2. Achievement of growth and development goals.
3. Major activity centers served.
4. Land use compatibility.
5. Social groups served.
6. Economic consequences to State, communities, and population groups.
7. Systemwide air, noise, and other sensitive environment impacts.
8. Public support and political feasibility.
9. Arizona life style.
10. Coordination with local, regional, and other State plans.

2.3.3 Products of the State Plan

In the urban areas, the State Plan may largely reflect the Regional System Plan developed by the MPO in cooperation with ADOT. A careful review should be made of this plan to determine which facilities are of Statewide interest and which ones ADOT should take the responsibility for. If new corridors are involved, the State Transportation Board commits ADOT's responsibility by adopting those corridors as "State Routes". Likewise, existing roads and streets may be deemed by the Board to be of State responsibility and designated as "State Highways". The issue of new State routes or State highways may be initiated by the MPO, local agencies, ADOT staff, citizens or the Board members themselves.

2.3.4 Quadrennial Statewide Transportation Needs Study

The Quadrennial Statewide Transportation Needs Study is not directly part of the State Plan, but rather reflects the needs that are included in the plan. This study is performed by ADOT as required by the State Legislature. The purpose of the study is to identify the 5-and 10-year transportation needs of Arizona and to evaluate the status and condition of transportation systems and analyze transportation needs. The Needs Study is performed under the direction of the Advance Planning Section Manager. It is an interdisciplinary team effort involving staff commitments from the Advance Planning, Planning Support, and Technical Planning Services Sections as well as other ADOT divisions and local governments. Local governments cooperate with ADOT in preparing the quadrennial transportation needs study by providing data and information to ADOT and through participation on the Technical Advisory Committee. The Technical Advisory Committee is established by the legislature and is comprised of members from city and county governments, representatives who are retired from the Road Building Industry, and the Arizona Department of Transportation. The Technical Advisory Committee advises ADOT during the preparation of the Needs Study Report, sets standards, and reviews and approves the Needs Study Report.

In addition to identifying overall State transportation needs, the Needs Study provides valuable technical information to the State Transportation Plan, Route Rationalization Process, Transportation Corridor Studies, and the Priority Programming Process.

2.3.5 Public Participation for the State Plan

The State Transportation Plan is the broadest of all the system planning efforts and, therefore, requires the broadest public participation program.

Public involvement starts in the issues identification stage. ADOT conducts public workshops throughout the State, meets frequently with interest groups, individuals, and community leaders for the purpose of identifying the transportation problems facing Arizona, and receiving input on how to deal with those problems.

As statewide issues are identified and prioritized they are inserted into the State Plan development process as an individual issue or category-level study. At the beginning of these studies the publics principally affected by the studies are identified and offered the opportunity to participate in the study development. This generally involves informal advisory input from individuals and organizations for all studies and formal committee advisory input for some major-category plans. Each of the Councils of Governments is normally requested to provide representation and input for its area through State Plan development advisory committees. Advisory input is solicited at critical points in the planning process, including establishing goals and objectives, identifying alternatives, and plan selection.

Opportunities for the public to be aware of and influence the State Transportation Plan development process may also occur through public dissemination of planning information via newsletters, news releases, technical reports, radio and television programs, and public speeches. Public meetings are also a tool used by ADOT to solicit input to the State Plan.

2.4 The Priority Programming Process (Step 4) (Also refer to Part 2.7, Step 7)

The transportation systems planning process in ADOT culminates with the annual development of a five-year project-specific capital improvement program. The priority program is basically a short-range project timetable for facility and service investments.

The Priority Program reflects the general priority recommendations identified in the State Transportation Plan, Needs Study, and corridor and special planning studies. Additional priority program input is provided by ADOT Districts, management in the several ADOT Divisions, and regional and local planning agencies including the COGs.

In Step 4 of the flow chart, the State Transportation Board determines which corridors or facilities should proceed on through the planning process and allocates funds for the appropriate studies. These studies may be either the transportation planning corridor studies (Step 5) aimed at determining what type of facility to build or the designation of a preliminary corridor (Step 6) which defines generally where the facility will be built. In some cases Steps 5 and 6 may proceed simultaneously. If the preliminary corridor is to be designated, then the Board should allocate some funds to acquire right-of-way to protect the corridor or to relieve bonafide "hardship cases".

The priority programming process for proposals for transportation facilities which are to progress from the planning phase into the project development phase is discussed in Part 2.7 (Step 7).

The detailed priority programming process outlined in Step 7 is generally also applicable to Step 4 for major transportation proposals such as new highways on new locations.

2.5 Transportation Corridor Planning Studies (Step 5)

2.5.1 Responsibilities

The Transportation Planning Division performs transportation corridor studies as part of the systems planning process. These studies focus on areas of State transportation network service deficiencies identified in the State Plan and Needs Study and provide analysis on the effects of differing levels and types of transportation investments applied to these links. The studies conclude with recommendations for specific types of investments to be used in priority programming and project development processes. In ADOT the formal report which documents the study approach, analyses, and conclusions or recommendations is known as the Transportation Corridor Study Report. Transportation corridor studies may be initiated on the basis of recommendations in the State Plan, at the direction of ADOT management, the State Transportation Board, or at the request of other agencies and the public. Funds for the larger corridor studies may be allocated by the Board through the Priority Programming process.

Advisory roles on transportation corridor plan findings are provided by ADOT Divisions and affected local jurisdictions. The plan approval role resides with the Director and State Transportation Board. The State Transportation Board is responsible for any approval actions involving adding or deleting routes on the State Highway System. Often the study findings will require approval action by organizations outside ADOT. For example, a recommendation for improved bus service in a corridor would require approval of the transit regulatory body as well as the bus operator. If the corridor study recommends major actions which may be inconsistent with the Regional Transportation Plan, the MPO should be advised to reevaluate its plan.

Staff responsibilities for the corridor studies lie primarily with the Transportation Planning Division. In most cases a project director will be designated and persons with appropriate expertise will be assembled into an interdisciplinary team effort. The ADOT staffs assigned to the MPOs will be heavily utilized for studies on the major urban corridors.

The Environmental Planning Services of the Highways Division provides specialty disciplines for social, environmental, and economic inventory and impact analysis in those areas in which Transportation Planning Division does not have expertise. Other technical and engineering expertise is also available from the Highways and Aeronautics Divisions to assist with identifying and evaluating alternatives dealing with those specific facility and service types. A principal advantage of involving other ADOT Divisions at the transportation study planning stage is to facilitate the transition from systems planning to project development. Local agency staff assistance may also be employed in conducting corridor studies.

The functions of Step 5 for State transportation facilities are generally performed by the Arizona Department of Transportation or its consultant. However, with prior approval (normally accomplished by written agreement) of the Arizona Department of Transportation, a local government (or its consultant) may be permitted to conduct the functions of Step 5 for a State transportation facility in accordance with this Action Plan. In such event, the local government report(s) and recommendations for the State facility shall be presented to the Arizona Department of Transportation for the same approval process as reports prepared by ADOT or its consultant, as identified in this Action Plan. Final decisions for State transportation facilities are the statutory responsibility of the Arizona Department of Transportation and the State Transportation Board as provided for under Title 28 of the Arizona Revised Statutes, as amended.

2.5.2 Corridor Study Tasks

The scope of work and specific work tasks will vary from corridor to corridor depending upon the complexity of the issues and the history of the corridor.

However, in general, the following types of tasks or steps will be appropriate for most corridors:

- 1) Identify geographic area and travel movements to be served.
- 2) Estimate traffic volume demand, trip purposes, and lengths.
- 3) Based on current plans, project usage for trucks, buses, carpools, and other modes.
- 4) Identify the problems and deficiencies with no action.
- 5) Identify appropriate transit and other TSM actions and determine their effectiveness in relieving the problems and deficiencies.
- 6) Select alternative project concepts for evaluation purposes.
- 7) Evaluate alternatives including consideration of service benefits, user costs, safety, energy consumption, air quality, sensitive environmental factors, land use disruption and compatibility, impact on economic and development goals of the community, project costs, funding sources, local support, and political feasibility.
- 8) Develop recommendations and complete the Corridor Study Report.

2.5.3 Corridor Study Products and Decisions

The specific products and decisions will vary from corridor to corridor. In general, the major decisions will include the type of facility to be constructed, treatment of transit, cost estimates, funding sources, and priority recommendations to the State Transportation Board.

Other products of the study may include a preliminary determination of the number and type of travel lanes and general interchange locations. The geographic limits of the area within which a facility can satisfy the purpose of the corridor may also be determined. In addition, major impacts and benefits of the corridor may be more clearly defined and the degree of public and local agency support may be identified. This information may be used to determine the relative priority of this project to others in the State. The Board can consider this material in establishing the Priority Program and determining whether this corridor should move into location and design studies and eventually into construction.

If project costs and funding availability become a major issue, the Board and the ADOT Director may choose to delay final decision of type of facility and timing for construction. The corridor study results may be used to solicit the required funding level from the legislature, the public, or other possible sources.

2.5.4 Public Participation in Transportation Planning Corridor Studies

Where appropriate, local involvement will be sought in the conduct of transportation corridor plan studies. Identification of relevant local groups is accomplished through consultation with regional planning agencies and community leaders at the beginning of the study effort.

Advisory committees may be established to represent public viewpoints throughout the course of the study.

Input may also be solicited through meetings with interest groups, public meetings, and media advertisements.

2.6 Designate Preliminary Corridor (Step 6)

When the planning process for a particular transportation facility is expected to span a long period of time between the Transportation Corridor Planning Study (Step 5) and Project Design (Step 10) the designation of a preliminary corridor may be necessary. The Step 6 process is an optional procedure which enables ADOT to preserve a corridor from extensive development and to cooperatively facilitate orderly land use planning by others along the corridor prior to project location and design.

The ADOT Highways Division is responsible for conducting the Step 6 interdisciplinary evaluations with expertise and involvement, as appropriate for the particular corridor, from other ADOT divisions, public and private agencies and organizations, land developers, and the public.

The Step 6 process concludes with the identification of a staff-recommended preliminary corridor, usually of very general description, and the designation of a preliminary transportation corridor through adoption of a formal resolution by the State Transportation Board.

The adopted resolution will be filed with the office of the appropriate county recorder as an official public notice of the intended transportation facility. The public may also be notified of the preliminary corridor designation through news releases to the media, or other appropriate means.

Agreement to cooperate in preservation of the designated preliminary transportation corridor will be sought with agencies having jurisdiction along the corridor. The ADOT Highways Division will work with developers and planning and zoning agencies to avoid encroachment upon the designated preliminary corridor. Where unavoidable encroachment is imminent, the integrity of the corridor may be preserved through advance acquisition for protective purposes as set forth in step 8.

Designation of a preliminary corridor shall not preclude nor predetermine the selection of the actual and final highway location, which can only occur when precise information is developed in subsequent steps 9 and 10 of the Highway Development Process, described in Chapter 3 of this Action Plan.

2.7 The Priority Programming Process (Step 7) (Also Refer to Part 2.4, Step 4)

As stated in part 2.4, the transportation systems planning process with ADOT culminates with the annual development of a five-year project-specific capital improvement program. This program reflects the general priority recommendations identified in the State Transportation Plan, the Needs Study, and corridor and special planning studies. Additional priority program input is provided by ADOT Districts, ADOT management, and local and regional planning agencies including the Councils of Governments.

Step 7 of the flow chart on page 3-9 is the point at which a project moves from the planning phase into the project development phase. Through the priority programming process, the Board selects those projects which are to proceed through location evaluation, design, full right-of-way acquisition, and construction. These activities are funded on a year-to-year basis, but once the location evaluation starts, the project is expected to move through to construction even though the construction might not be scheduled within the Five-Year Program time frame.

Priority Program development is an interdisciplinary effort drawing staff assistance from throughout the Transportation Planning Division as well as other ADOT Divisions and other public sector agencies. For major new facilities in urban areas, the planning corridor studies (Step 5) should provide pertinent data input into the priority programming process.

Statutory responsibility for developing the Five-Year Program resides with the ADOT Director with assistance from the Departmental Committee. (Ref. Part 1.2.4) At the Beginning of each fiscal year, the Committee identifies and obtains State Transportation Board Concurrence on major issues and policy directions affecting the Five-Year Program. This begins a two-way communication process among the Departmental Committee, the Councils of Governments, the ADOT District Engineers, and others, as appropriate.

Recommendations for projects to be included in the Five-Year Program are identified through coordination between the ADOT District Engineers and the local and regional planning agencies. Initial project recommendations are submitted through the District Engineers to the Departmental Committee. An iterative process of review and refinement of proposed projects is thus developed for evaluation through the priority programming procedures.

With staff support from the Transportation Planning Division, the Director with assistance from the Departmental Committee prepares the Tentative Five-Year Program through the application of the priority policy and criteria as described in Part 1.2.4.

The Tentative Five-Year Program, upon acceptance by the State Transportation Board, is submitted to the ADOT districts, local and regional planning agencies, State and Federal agencies as applicable, and is made available to the general public for review.

By statute, a public hearing is conducted by the State Transportation Board to receive public and agency input on the Tentative Five-Year Program.

After the public hearing, the ADOT Five-Year Program is finalized by the Director with assistance from the Departmental Committee and is officially adopted by the State Transportation Board and filed with the Governor and the Secretary of State.

The adopted ADOT Five-Year Program is distributed by the ADOT Director to each appropriate division Assistant Director for implementation.

This action concludes the Priority Programming Process and provides the schedule for development and construction of those projects contained in the Five-Year Program. The Highway Development process is described in the following Chapter 3. Proposals in the FiveYear Program for corridor studies, or protective or hardship right-of-way acquisition are processed in accordance with procedures discussed in Steps 4, 5, 6, and/or 8, as applicable, of this Action Plan Process.

2.8 Advance Acquisition of Right-of-Way (Step 8)

With the funds allocated by the State Transportation Board through the Priority Program (Step 4) the Director of the Arizona Department of Transportation may authorize the acquisition of land within the preliminary corridor adopted in Step 6. This acquisition should take place only if it is necessary to prevent significant development in the corridor or to relieve financial hardships on property owners.

In determining whether to purchase lands to prevent development, the Director, acting on the advice of the ADOT Chief Right-of-Way Agent, should determine that acquisition is the best method of preventing the development and that purchase of the land is a sound investment of public funds. In making the latter determination, the Director should take into account the increased cost due to the proposed development, the length of time before construction of the transportation project is projected to start, the disruptive effect of removing the development at a later date, and other factors as deemed appropriate.

The local jurisdictions may also purchase land for use as right-of-way for a State transportation facility. However, ADOT's acceptance of that land as part of the right-of-way can only be assured if ADOT gives approval to the local agency prior to their purchase. The local agencies should be required to establish rigid procedures to identify zoning requests and building permit requests that may affect the corridor. If the local agency is unable to prevent actions which would adversely affect the integrity of the corridor, ADOT should be notified so that a decision whether to purchase the land can be made.

The Director may also authorize the purchase of land in the corridor if he deems that a property owner is suffering an undue hardship because his property is in the designated corridor.

Advance right-of-way acquisition may take place until normal project acquisition begins (Step 11). This may cover a period of several months to several years.

CHAPTER 3

3.0 THE HIGHWAY DEVELOPMENT PROCESS

3.1 INTRODUCTION

3.1.1 Systematic Interdisciplinary Approach

The Highway Development Process of the ADOT Highways Division includes all planning, engineering, and administrative functions required to advance a highway project from the Transportation Planning Process to the Construction Stage.

The Process is accomplished through a systematic interdisciplinary approach involving the various operational units and services of the Highway Development Group, the Engineering Districts, the Materials Section of the Highway Operations Group, other ADOT Divisions, other State and Federal agencies, and special consulting and advisory organizations outside the Department as required.

3.1.2 Initiation of the Highway Development Process

The ADOT Highway Development Process is initiated by the Assistant Director, Highways Division, in accordance with project priorities established in the ADOT Priority Program as adopted annually by the State Transportation Board.

Transition from the Transportation Planning Process to the Highway Development Process is accomplished through the utilization of the Corridor Study Report and/or any other pertinent preliminary study reports and documents developed by the Transportation Planning Division with previous interdisciplinary assistance from the Highways Division, as required.

These reports, where applicable, are the basic source documents used in initiating the various functions of the Highway Development Process.

The ADOT Five-Year Transportation Construction Program provides the schedule of project priorities for implementation by the Highway Development Group of the Highways Division.

3.1.3 Procedures

The highway project development procedures utilized by the Arizona Department of Transportation vary depending upon the nature and scope of the proposed project.

Major or significantly large projects may require many or all of the procedural steps outlined in this chapter while minor or less complex projects may require only some of the procedural steps.

The responsibility for determining which steps of the process apply to a particular project rests with the appropriate Group, Section, or Services Manager having procedural jurisdiction over the respective highway development phase of the project.

The Arizona Department of Transportation will use the least involved and most expeditious process appropriate for the particular project being developed.

3.1.4 Affirmative Action

The Arizona Department of Transportation operates under the provisions and requirements of the ADOT Affirmative Action Program which is designed to assure equality of employment opportunity without regard to race, religion, color, sex, age, national origin, or handicap.

The primary goals and objectives of the ADOT Affirmative Action Program are to insure Departmental compliance with all non-discrimination concerns and requirements as set forth by the Federal Highway Administration, ADOT policies, Governor's Executive Orders, Presidential Executive Order 11246, as amended, Title VI and Title VII of the U.S. Civil Rights Act of 1964, as amended, and the Minority Business Enterprise requirements of the Arizona Department of Transportation.

The Affirmative Action Program is administered throughout the Department by the ADOT Affirmative Action Office.

3.2 Project Location (Step 9)

3.2.1 Overview

The location evaluation function of step 9 applies to projects on new or substantially new alignment. The design evaluation function applies to major new construction or reconstruction projects. The environmental evaluation function applies to all projects except where waived by the Department in the best interest of the public, or minor projects classified by the Department as a State Categorical Exclusion.

The highway corridor evaluation process includes establishing the right-of-way limits and the preparation of location, environmental, and design documentation which culminates in location and concept design approval for the project.

Close and continuing coordination is established between the Arizona Department of Transportation and other appropriate agencies during the project location process.

3.2.2 Preliminary Interdisciplinary Functions

Upon initiation of the Highway Development Process, the ADOT Location Section, with involvement of appropriate organization units, begins the preliminary function of collecting and analyzing available project data, including the documentation resulting from the Transportation Planning Process.

Interdisciplinary activities may also include, as applicable, joint meetings, physical investigation of the project site, meetings with local government officials and other involved planning agencies, exchange of information and project documentation, and other appropriate actions.

3.2.3 Public Involvement

Public involvement occurs at any desired point(s) throughout the Highway Development Process and may include public forums, public hearings, workshops, news media announcements, newspaper advertisements and notices, or other similar methods.

Public involvement decisions for each project are made by the Deputy State Engineer of the Highway Development Group, based on recommendations made by staff members and, as applicable, by local government officials involved in the project.

The Environmental Planning Services advertises and conducts any desired public forums, workshops, or hearings for the proposed project, and provides a written report for each public forum held or a hearing transcript for each public hearing conducted.

3.2.4 Location, Design, and Environmental Evaluation

On projects involving a new alignment or a major realignment, the ADOT Location Section is responsible for making the location evaluation to determine the most practicable alignment. This may be accomplished by analysis of the project data including documentation resulting from the Transportation Planning Process, the environmental evaluation, and examination of aerial photography, field examination, compilation of new topographic maps on which to define alignments, major utilities, preliminary materials information, ground surveys, and other measures, as appropriate.

A design evaluation is made by the ADOT Design Section for the proposed project to determine the appropriate major design features required to meet the transportation demand for the facility being planned.

Where required, an environmental evaluation is made by ADOT's Environmental Planning Services for the proposed project which includes consideration of key issues or concerns within the project corridor that may be affected or may require special mitigation measures. Where a local government is involved in the project, the environmental evaluation also includes issues and concerns as determined significant by the local officials.

The environmental evaluation may include issues such as (1) air quality considerations due to interest of the Environmental Protection Agency in the State Implementation Plan, (2) noise evaluations to avoid conflict with local conditions and requirements and (3) other concerns as appropriate, such as floodplain encroachments, minority neighborhoods, and other similar involvements.

Documentation resulting from the location, design, and environmental evaluation process is prepared in brief, clear format and includes appropriate discussions, maps, and other materials as may be desired to present the major project considerations examined in the evaluation.

Separate reports may be made for the three areas of the highway corridor evaluation process, or all documentation may be combined into a single evaluation report.

Evaluation documents are subject to the approval of the appropriate section head or services manager and the Deputy State Engineer of the Highway Development Group.

Involved local governments will be provided the opportunity to review the findings and recommendations of the Project Location process.

The functions of Step 9 for a State highway facility are generally performed by the Arizona Department of Transportation or its consultant. However, with prior approval (normally accomplished by written agreement) of the Arizona Department of Transportation, a local government (or its consultant) may be permitted to conduct the location, design, and environmental evaluations and prepare appropriate report(s) for a State highway facility in accordance with this Action Plan. In such event, the local government report(s) and recommendations for the State highway facility shall be presented to the Arizona Department of Transportation for the same approval process as reports prepared by ADOT or its consultant, as identified in this Action Plan. Final decisions for State highway facilities are the statutory responsibility of the Arizona Department of Transportation and the State Transportation Board as provided for under Title 28 of the Arizona Revised Statutes, as amended.

3.2.5 Establish Project Right-of-Way Limits

Establishing the right-of-way limits along the Corridor occurs at the earliest practicable time during or at the conclusion of the Project Location process.

The Right-of-Way Section will prepare and process a resolution for adoption by the Transportation Board which will amend any previously determined Corridor limits and establish the Right of Way limits, as required.

3.2.6 Location Approval

Location approval for the proposed highway project occurs upon completion of the Project Location process and is based upon the staff recommendations arising from the process.

Staff recommendations for the location of the proposed project are presented to the State Engineer who is responsible for approving the project location features. The State Engineer may request the assistance of the ADOT Director and the State Transportation Board in making the location decision for the project.

The concept location approval process includes coordination as appropriate with involved local government(s) by the ADOT Location Section.

Notice of location approval is made through the Deputy State Engineer, Highway Development Group, or a designee, to all appropriate units.

3.2.7 Concept Design Approval

During the Project Location process the Design Section working in conjunction with the Location Section develops concept design features for the project.

The concept design approval process also includes coordination as appropriate with involved local government(s) by the ADOT Design Section.

Staff recommendations are presented to the State Engineer who is responsible for approving the project design features. The State Engineer may request the assistance of the ADOT Director and the Transportation Board in making the project concept design decisions.

3.3 Project Design (Step 10)

This phase of the Highway Development Process occurs after ADOT project location and concept design approvals have been given.

The functions of Step 10, the Design Phase for a State highway facility, are generally performed by the Arizona Department of Transportation or its consultant. However, with prior approval (normally accomplished by written agreement) of the Arizona Department of Transportation, a local government (or its consultant) may be permitted to perform the functions of this phase for a State highway facility in accordance with this Action Plan. All such construction plans must meet design standards of ADOT and shall be presented to the Arizona Department of Transportation for the same approval process as plans prepared by ADOT or its consultant, as identified in this Action Plan. Final decisions for State highway facilities are the statutory responsibility of the Arizona Department of Transportation and the State Transportation Board as provided for in Title 28 of the Arizona Revised Statutes, as amended.

3.3.1 Preliminary Construction Plans

Preliminary Construction Plans for ADOT highway projects are prepared under direction of Highway Plans Services, Design Section, of the ADOT Highway Development Group. This function may include interdisciplinary services and data as necessary from the Design Section, other ADOT units, State, Federal, and local agencies, and from consultants as appropriate.

Preliminary Construction Plans are prepared for the proposed highway project based upon data contained in the Location, Design, and the Environmental document(s), and any other pertinent project documents prepared earlier in the Highway Development Process, and from the public involvement process where applicable.

3.3.2 Parallel Functions

While the Preliminary Construction Plans are being prepared, several other major functions are also begun, as appropriate, by various interdisciplinary groups involved in the Highway Development Process, as typified by the following:

- Major Structure Plan
- Normal Right-of-Way Acquisition and Clearances
- Relocation Assistance Procedures
- Traffic Plan
- Highway Beautification and Roadside Development Plan
- Public Utility Relocation and Clearances
- Preparation of Materials Design Memorandum
- Others as may be required

3.3.3 Materials Design Memorandum

A materials memo is prepared by Pavement Services of the ADOT Materials Section, Operations Group, which identifies materials recommendations for design and construction of the project. The materials memo is used as source data in preparation of the preliminary and final construction plans by the Design Section.

3.3.4 Office and/or Field Review

When the Preliminary Construction Plans have reached a sufficient level of development, the Highway Plans Engineer, ADOT Design Section, determines whether a field and/or office review will be held for a project. On projects where the review is warranted by complex design or other features, the Highway Plans Engineer or designee schedules an appropriate office and/or field review and notifies all involved groups and agencies of the time and place of the review.

The Preliminary Construction Plans are finalized to include initial design requirements and features as appropriate from the parallel functions and from the office and/or field review(s) as applicable.

All Preliminary Construction Plans are subject to the review of the appropriate section or services manager within the ADOT Highway Development Group, and the approval of the Deputy State Engineer, Highway Development Group, or his designee.

Notice of approval of the Preliminary Construction Plans is made through the Deputy State Engineer, Highway Development Group, or a designee, to all appropriate units.

3.3.5 Utilities Considerations

During preparation of the Preliminary Construction Plans for the project, the Utility and Railroad Engineering Services of the ADOT Design Section develops information regarding all utilities located within the project area. This information is utilized in development of the project plans and is reviewed during subsequent plans review stages.

Coordination with all involved utility companies on the project is maintained by the Utility and Railroad Engineering Services which is eventually consummated in utility agreements between the utility companies and the State with respect to the necessary treatment measures for those utilities located within the construction area of the project.

3.3.6 Final Construction Plans

Final Construction Plans are prepared from approved Preliminary Construction Plans, under the direction of the ADOT Highway Plans Services.

All parallel functions started previously, as discussed in paragraph 3.3.2 above, are finalized during this phase of the Highway Development Process. These final documents are approved by the appropriate unit engineer or manager and, where appropriate, are incorporated into the Final Construction Plans.

Where warranted by complex design features or related problems of the proposed highway project, the ADOT Highway Plans Engineer may schedule and conduct an office or field review of the Final Construction Plans. Such review when conducted includes personnel from the various disciplines and agencies of the Highway Development Process for the particular project.

All Final Construction Plans are subject to the acceptance of the Highway Plans Engineer of ADOT Highway Plans Services and to the approval of the Deputy State Engineer, Highway Development Group.

The approved Final Construction Plans are submitted by the Deputy State Engineer, Highway Development Group, to the Contracts and Specifications Services of the ADOT Design Section for preparation of the Specifications and Estimates for the proposed project.

3.3.7 Plans, Specifications, and Estimates (PS&E)

Written specifications and construction estimates are prepared and incorporated together with the Final Construction Plans into a Plans, Specifications, and Estimates (PS&E) package by Contracts and Specifications Services. The final PS&E package is reviewed to assure that environmental and other requirements as previously determined have been incorporated.

3.3.8 Approval

The completed PS&E documents are subject to the acceptance of the Engineer, Contracts and Specifications Services, and the approval of the Deputy State Engineer of the Highway Development Group and the Chief Deputy State Engineer on behalf of the Assistant Director, ADOT Highways Division.

3.4 Right-of-Way Acquisition (Step 11)

The Right-of-Way Section of the Highway Development Group in the Highways Division is responsible for the coordination and processing of all right-of-way matters. The flow process chart on the following page depicts the overall key functions performed by the Right-of-Way Section.

The Right-of-Way Section participates in the interdisciplinary activities occurring in the Transportation Planning and the Highway Development Processes and in the public forum and hearing process conducted by Environmental Planning Services of the Location Section.

3.4.1 Advance Acquisition

Advance acquisition may only occur in relation to those points as previously discussed in Part 2.8 (Step 8) and must be accomplished in compliance with the requirements of Arizona Revised Statutes.

3.4.2 Normal Acquisition

Normal acquisition is any acquisition other than "Advance Acquisition for bonafide protective or hardship purposes" and can be authorized after appropriate project design approval has been given.

3.4.3 Relocation Assistance Program

The Relocation Assistance Program of the Arizona Department of Transportation is established to operate in compliance with Sections 28-1841 through 28-1853 of Arizona Revised Statutes.

The ADOT Highway Development Process flow chart on page 3-9 of this chapter identifies the various points of the process at which the Right-of-Way Section may be involved.

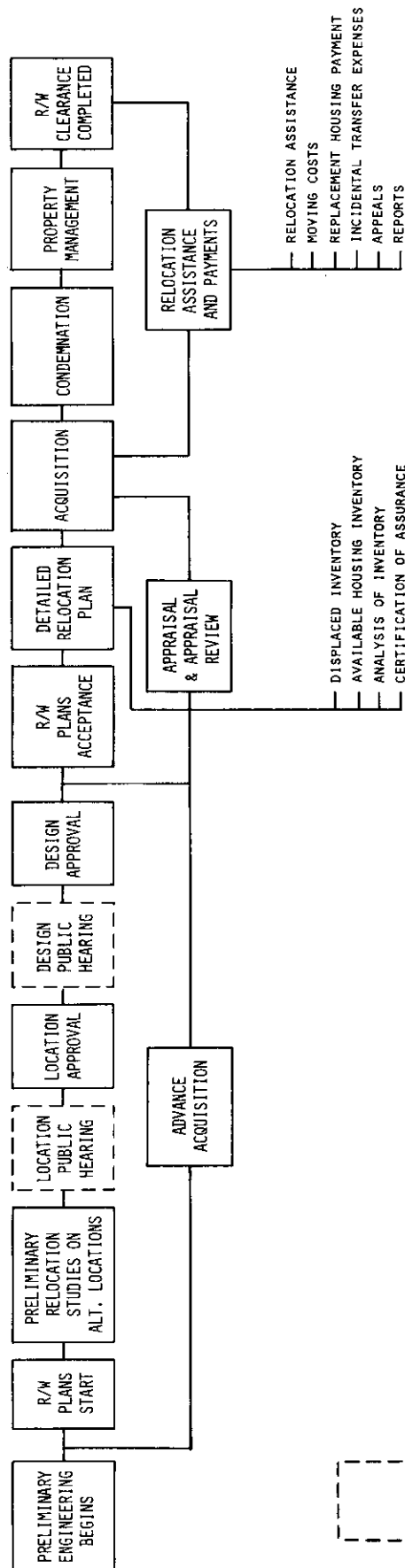
3.5 Advertising for Bid (Step 12)

Upon authorization of the ADOT Assistant Director, Highways Division, the project is advertised for bid in accordance with State law by the Contracts and Specifications Services of the ADOT Highway Design Section.

An advertisement for bid contains the location and description of the proposed work, the person(s) to contact for project plans and information, the closing date and instructions for submitting bids to ADOT, and the scheduled bid-opening date. Other pertinent information may be included for the project.

A time period of thirty calendar days is normally allowed for preparation of bids. A longer period may be allowed on complex projects and a shorter time may be permitted for minor projects such as seal coats, overlays, and other similar types of projects.

ARIZONA DEPARTMENT OF TRANSPORTATION RIGHT-OF-WAY FLOW PROCESS FOR STATE-FUNDED PROJECTS



OPTIONAL FUNCTION

3.5.1 Establishing the Lowest Bid

All elements of each bid received for the project within the authorized time limit are verified by the Contracts and Specifications Services to determine the lowest bid.

A staff recommendation regarding award of the contract is made to the ADOT Assistant Director, Highways Division.

3.6 Award of Contract (Step 13)

The ADOT Assistant Director of the Highways Division in consultation with the Director makes a recommendation to the State Transportation Board regarding the award of contract.

When a contract is to be awarded, the State Transportation Board at an open public meeting will make the award to the lowest bidder. The State Transportation Board reserves the right to table or reject the award of contract.

When a contract is not to be awarded for a State highway project, the State Transportation Board determines what future action is to be taken with regard to the project.

3.7 Construction (Step 14)

After the contract is awarded the contractor is responsible for constructing the project in accordance with the terms, conditions, and provisions set forth in the contract.

Contract administration, construction surveillance, and work inspection for the project is furnished by ADOT through the appropriate District Engineer's staff in conjunction with the Construction Engineering staff of the ADOT Highway Operations Group in the Highways Division.

3.8 Project Acceptance (Step 15)

Final inspection and acceptance of the completed project is the responsibility of the District Engineer in whose district the project is located, or his designee.

This final function concludes the ADOT Action Plan process and procedures. However, certain other functions within the Arizona Department of Transportation continue through and beyond the project construction stage.

While being generally beyond the scope and requirements of the ADOT Action Plan, these functions nevertheless may contribute significantly to the enhancement of the transportation facility and the surrounding environment.

Examples of some of these functions include:

- appropriate application of roadside landscaping schemes and techniques to enhance and preserve the aesthetic values of the corridor;
- soil erosion evaluation and control;
- water pollution evaluation and water preservation where appropriate;
- adequate maintenance of highway facilities to provide maximum user benefits;
- continuing research to improve quality and use of highway construction materials;
- on-going research to implement improved safety features in highway planning, construction, and operation; and
- other similar programs and functions as may be applicable.

The functions and procedures outlined in this Action Plan together with the many other functions as typified by the above examples provide the planning, engineering, and administrative methods with which the Arizona Department of Transportation meets its statutory responsibilities regarding highways, roads, and streets on the State System.

ARIZONA DEPARTMENT OF TRANSPORTATION

FLOW PROCESS FOR STATE-FUNDED HIGHWAY PROJECTS ON THE STATE SYSTEM

